

WASHINGTON, D. C. 20505

Office of Legislative Counsel

OLC 77-5297/a

10 JAN 1978

Mr. Harry S. Havens, Director
Program Analysis Division
General Accounting Office
Washington, D.C. 20548

Dear Mr. Havens:

Enclosed are completed GAO Forms 510 in response to your request for an inventory of occurring reports and information systems required under the Congressional Budget Act of 1974. You will note that while we are employing new forms, the information is the same as we previously reported to you.

I understand that Mr. Robert Jaxel, of your staff, will meet with [] of this office, early in January to discuss any Agency unclassified information systems which might be appropriate to include in GAO inventories.

Sincerely,

George L. Cary
Legislative Counsel

Enclosures

cc:
ER DDA

Distribution:
Original - Addressee
1 - OLC Subject
1 - OLC Chrono
OLC:RJK:mlg (4 Jan 1978)

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Info needed to complete items 12 and 16 not available in this office. I question whether this need be reported to the GAO. The accompanying paper titled "PROCEDURES FOR THE PREPARATION...CONGRESS" stated in the 4th paragraph of the 1st page: "Please do not include intra-agency and inter-agency feeder reports." In my judgment, this is an inter-agency feeder report.

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ENCLOSURE I - AUGUST 23, 1976
MEMORANDUM



COMPTROLLER GENERAL OF THE UNITED STATES

WASHINGTON, D.C. 20548

August 23, 1976

IN REPLY
REFER TO:

HEADS OF EXECUTIVE DEPARTMENTS AND INDEPENDENT AGENCIES:

SUBJECT: Information to be Provided to GAO for Inventories of Program Evaluations, Recurring Reports to the Congress, and Information Sources and Systems, Under Provisions of "Congressional Budget Act of 1974"

1. Purpose - This memorandum establishes policies and procedures to be followed by Executive agencies and agency components in the compilation and periodic submission to the General Accounting Office of information required under the Congressional Budget Act of 1974.

a. Executive Agency - An executive department or an independent establishment within the meaning of sections 101 and 104 (1) respectively of Title 5, United States Code.

b. Agency component - A major organizational subdivision of an executive agency. For example, the Army, Navy, Air Force, and Defense Supply Agency are agency components of DOD; the Federal Aviation Administration, Urban Mass Transportation Administration, and the Federal Highway Administration are agency components of DOT.

2. Authority - Title VIII of the "Congressional Budget Act of 1974," P.L. 93-344, 88 Stat. 328-329 (31-USC 1151) amended Title II of the Legislative Reorganization Act of 1970. Sections of Title VIII which establish reporting requirements are section 202 (d), and section 203 (a) and (b).

Section 202 (d) states: "The Comptroller General shall assist committees in developing their information needs, including such needs expressed in legislative requirements, and shall monitor various recurring reporting requirements of the Congress and committees and make recommendations to the Congress and committees for changes and improvements in their reporting requirements to meet congressional information needs ascertained by the Comptroller General, to enhance their usefulness to the congressional users and to eliminate duplicative or unneeded reporting."

Section 203 (a) states: "upon request * * * of the Comptroller General, * * * the various executive agencies shall --

(1) furnish * * * the Comptroller General * * * information as to the location and nature of available fiscal, budgetary, and program-related data and information;

(2) to the extent practicable, prepare summary tables of such data and information and any related information deemed necessary by the Comptroller General; and

(3) furnish to * * * the Comptroller General * * * any program evaluations conducted or commissioned by any executive agency."

Section 203 (b) states: "The Comptroller General, in cooperation with the Director of the Congressional Budget Office, the Secretary of the Treasury, and the Director of the Office of Management and Budget, shall --

(1) develop, establish, and maintain an up-to-date inventory and directory of sources and information systems containing fiscal, budgetary, and program-related data and information and a brief description of their content."

3. Background - The Congress has an increasing need for improved access to executive branch fiscal, budgetary, and program-related data and information. This memorandum outlines procedures and guidelines for producing periodic compilations of certain standardized information for use by the Congress in accordance with the statutory requirements set forth above.

The U.S. General Accounting Office in coordination with executive agencies, has compiled and will publish the following inventories: (1) recurring Congressional reporting requirements levied on executive agencies, (2) Federal agency program evaluation activities/reports, and (3) Federal agency information sources and systems. The experiences gained during the data collection, compilation and evaluation of the FY 1976 effort have contributed to the development of standardized information requirements for each inventory. The inventories, from which information will be retrieved and published, will be maintained and updated annually using information supplied by the executive agencies in the form prescribed by this memorandum.

4. Agency Submission Instructions - Agencies shall prepare and submit to the GAO annual inventories of (1) recurring Congressional reporting requirements, (2) Federal agency program evaluation activities, and (3) Federal agency information sources and systems.


On receipt of this memorandum heads of agencies are requested to designate an appropriate representative(s) to provide continuing liaison with GAO for the purpose of implementing and maintaining up-to-date inventories of the information outlined above. Specific requirements, guidelines, and definitions for use in each inventory will be furnished to the designated agency contacts. Those instructions will be considered to be parts of this overall memorandum.

The period for data preparation, collection, review and submission will be from August 1 through December 31 of each calendar year. GAO will have a staff available to assist agencies in their data collection and submission efforts.

Agencies' replies designating representatives for liaison with GAO should be directed to:

Harry S. Havens
Director, Program Analysis Division
U.S. General Accounting Office
Washington, DC 20548

Sincerely yours,


ACTING Comptroller General
of the United States

ENCLOSURE II - AGENCY CONTACT LIST

AGENCY CONTACT LIST
CENTRAL INTELLIGENCE AGENCYRequirements for Recurring Reports to Congress

Definition: A continuing requirement to report to the Congress (1) on a periodic basis, (2) each time an event occurs, or (3) on an as required basis levied by stature or by a member/committee of the Congress.

Name _____

Office _____

Telephone No. _____

Information Systems

Definition: An organized collection and processing of data in accordance with defined procedures (automated or manual) that generate recurring outputs. Examples are: management information systems, data bases, models, files, etc.

Name _____Office Office of Legal Counsel _____Telephone No. _____Information Sources/Resources

Definition: A major information collection and/or dissemination facility, as well as, significant documents and publications. Examples are: information analysis centers/facilities, special libraries, information networks, documentation centers, budget/economic documents, general publications, statistical documents, long-range planning documents, program/project catalogs, etc.

Name _____

Office _____

Telephone No. _____

AGENCY CONTACT LIST

Requirements for Recurring Reports to Congress

Definition: A continuing requirement to report to the Congress (1) on a periodic basis, (2) each time an event occurs, or (3) on an as required basis levied by statute or by a member/committee of the Congress.

Name _____

Office _____

Telephone No. _____

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Definition: An organized collection and processing of data in accordance with defined procedures (automated or manual) that generate recurring outputs. Examples are: management information systems, data bases, models, files, etc.

Name _____

Office _____

Telephone No. _____

Information Sources/Resources

Definition: A major information collection and/or dissemination facility, as well as, significant documents and publications. Examples are: information analysis centers/facilities, special libraries, information networks, documentation centers, budget/economic documents, general publications, statistical documents, long-range planning documents, program/project catalogs, etc.

Name _____

Office _____

Telephone No. _____

AGENCY CONTACT LIST

Requirements for Recurring Reports to Congress

Definition: A continuing requirement to report to the Congress (1) on a periodic basis, (2) each time an event occurs, or (3) on an as required basis levied by stature or by a member/committee of the Congress.

Name _____

Office _____

Telephone No. _____

Information Systems

Definition: An organized collection and processing of data in accordance with defined procedures (automated or manual) that generate recurring outputs. Examples are: management information systems, data bases, models, files, etc.

Name _____

Office _____

Telephone No. _____

Information Sources/Resources

Definition: A major information collection and/or dissemination facility, as well as, significant documents and publications. Examples are: information analysis centers/facilities, special libraries, information networks, documentation centers, budget/economic documents, general publications, statistical documents, long-range planning documents, program/project catalogs, etc.

Name _____

Office _____

Telephone No. _____

ENCLOSURE III - RECURRING REPORTS
REQUIRED BY THE CONGRESS

- Instructions
- Blank GAO Form 510's
- ~~- Partially Completed GAO Form 510's~~
- ~~- Listing of Previously Submitted
Recurring Reports~~

PROCEDURES FOR THE PREPARATION AND SUBMISSION TO THE
GENERAL ACCOUNTING OFFICE OF REQUIREMENTS
FOR RECURRING REPORTS TO THE CONGRESS

The following instructions are a supplement to the GAO memorandum (under the Congressional Budget Act of 1974, P.L. 93-344) on information to be provided to GAO for Inventories of Program Evaluations, Requirements for Recurring Reports to the Congress, Information Sources, and Information Systems.

Agencies will submit a typed GAO Form 510 for each requirement for a recurring report, as defined below, which has been levied by statute or by a member/committee of the Congress. This requirement is applicable to all Federal agencies, and Federally-chartered corporations.

Information provided will be used by the GAO to monitor the various reporting requirements of the Congress, to make recommendations to the Congress for elimination of duplicative and unneeded reporting requirements, and to recommend changes and improvements to congressionally imposed reporting requirements. A complete and accurate inventory of requirements for reports is essential to fulfill these responsibilities.

A report is defined as any information or data transmitted to the Congress in any written manner which includes narrative, tabular, or graphic form.

A recurring reporting requirement is one in which there is a continuing requirement to report to the Congress on a periodic basis or each time an event occurs (contingency requirements) which include all recurring reporting requirements transmitted directly to the Congress, and those sent to the President for transmittal to the Congress. Please do not include intra-agency and inter-agency feeder reports. Oral reports are also excluded from this survey.

Further, it is recognized that several requirements for reports may be consolidated and submitted under one cover. For example, your annual report may fulfill several reporting requirements. However, for the purposes of separate identification and evaluation of each requirement, a separate GAO Form 510 is desired for each requirement.

Please submit only unclassified information in completing the recurring reports inventory. For a classified report, please provide the level of classification, an unclassified short title, and a description of the report in the appropriate sections of the GAO Form 510.

GAO must receive consolidated agency reports not later than December 31 of each calendar year. Completed inventory submissions may be forwarded to GAO at any time during this period. Accordingly, GAO will maintain a staff of information specialists during this period to assist agencies in their data collection and submission efforts.

Agencies submissions and information about this request should be directed to:

Information Sources and Systems Group
Program Analysis Division
U.S. General Accounting Office
441 G Street, NW, Room 5008
Washington, DC 20548

Telephone: (202) 275-1837

Instructions for Completing GAO Form 510
and Associated Validation Listing

These instructions pertain to the completion of (1) blank GAO Form 510's, (2) partially completed GAO Form 510's, and (3) a validation listing of previously reported information via the GAO Form 510.

A blank GAO Form 510 (enclosure 1) is required to be completed for each required recurring report that has not been previously prepared/submitted to GAO. Please provide all of the information requested on the GAO Form 510. In those cases where a report has not yet been prepared, please provide your best estimate for each requested data element. For example, please identify the Office which is most likely to prepare the report, provide a "proposed" title for the report, provide the probable congressional recipient, etc. Please indicate in the remarks section of the GAO Form 510 (Section 19) when a report has not been prepared or submitted to fulfill a requirement.

Please provide us with one copy of your most recent edition of each unclassified recurring report. The requested copy will be used to make an abstract of the report for updating our data base and the publication of the Congressional Sourcebook. This is a one-time request for a copy of each report; therefore, please do not place us on your distribution list.

We have enclosed some partially completed GAO Form 510's (enclosure 2) which reflect some reporting requirements which are not currently contained in the Inventory of Requirements for Recurring Reports of your agency. Most of these requirements are contained in recently enacted legislation of the

94th and 95th Congresses. This enclosure does not purport to be inclusive of all your new or previously unreported requirements; it merely contains those missing requirements of which we are cognizant. We ask that you conduct a review to identify those requirements which our research failed to identify. For example, you may have some nonstatutory requirements from committees or members of Congress. Blank GAO Form 510's have been enclosed for your use in identifying such requirements.

With respect to partially complete GAO Form 510's, you are requested to review and complete the form for those requirements with you agree are the responsibility of your agency. If the requirement listed on a GAO Form 510 is not a responsibility of your agency, please make a brief explanatory statement in the remarks section of the GAO Form 510.

We have also enclosed a listing (enclosure 3) which contains the inventory of requirements for reports as it was previously reported to GAO. We ask that you review this listing and make corrections as necessary. Please make the necessary corrections on a blank GAO Form 510. For changes, please complete Items 1, 2, 16, and ONLY THE APPROPRIATE ITEM(S) TO BE CHANGED. A changed submission is one that modifies, updates, adds, and/or deletes specific information previously submitted for a recurring report. If any of the listed requirements have become obsolete, complete Items 1, 2, 16, and provide in Item 19 a brief statement which gives us a reference to the source document which made the requirement obsolete.

The instructions for the completion of the GAO Form 510 are delineated below. Each numbered item corresponds to the numbered items on GAO Form 510, which is attached. Additional instructions and GAO Forms 510's may be obtained from the Program Analysis Division source listed above.

1. ACCESSION NUMBER - If a "NEW" submission, GAO will assign the accession number. If a "DELETE" or "CHANGE" submission, enter the assigned accession number on both front and back of GAO Form 510.
2. REPORT TITLE - Provide the title (use the title as submitted by your agency) of the report. If report title is classified, provide an unclassified short title. If a report has not been prepared to fulfill a reporting requirement, provide your proposal of an appropriate title.
3. BRIEF DESCRIPTION OF CONTENT - Provide a brief description of the report content; e.g., "the number

and dollar amounts of grants for support of basic research to nonprofit organizations, by fiscal year, by recipient institution." Please do not merely repeat the report title, but rather provide the key words and key elements of the report. In the case of a classified report, please provide an unclassified summary. If the space provided is insufficient, the Description of Content should be continued on a separate sheet of paper.

4. REPORT CONTROL SYMBOL/NUMBER - Provide the report control symbol and/or number which your organization has assigned to the report. If none, leave blank.
5. FREQUENCY OF SUBMISSION - Provide the frequency of submission as stated in the requirement.
6. DUE DATE - Provide the due date of the report as stated in the requirement; e.g., June 30, or 120 days after the end of FY. Leave this space blank for those reports which are contingent upon an event or those submitted as required.
7. SECURITY CLASSIFICATION - Please indicate the classification of each report. If the report is not classified, check "none".
8. OFFICE OF MANAGEMENT & BUDGET IDENTIFICATION CODE - If the report is clearly relatable to a program that has an OMB account, place the 11 digit OMB account number as delineated in the Appendix to the Budget of the United States Government in this space. Otherwise, leave this space blank.
9. STATUTORY AUTHORITY FOR REPORT - If possible, please provide all three statutory references (United States Code, Statutes at Large, and Public Law). At least one of these references must be submitted for each report required by statute. We ask that you provide the title and section citations for the United States Code (U.S.C.), the volume and page number for the Statutes at Large (Stat.), the Public Law number and the section, e.g., 5 U.S.C. 522(D), 88 Stat. 564, and P.L. 93-503, section 2.
10. NONSTATUTORY AUTHORITY FOR REPORT/VOLUNTARY REPORT - Identify the proponent, the date of the request, the medium by which the request was made and other relevant descriptive data, e.g., "letter of June 30, 1970, from the Senate Committee on Government Operations," "Page 251 of House Report 1339, July 4, 1972," "Telephone call from Congressman John Doe." Although this request

addresses requirements for reports, the value of the inventory will be enhanced if it includes recurring voluntary submissions. Therefore, please provide readily available inventory data about, and one copy of each report voluntarily submitted to the Congress on a recurring basis.

11. PUBLIC LAW NAME - Provide the Public Law name that corresponds with the Public Law citation provided as the statutory authority for the report. Leave this space blank for nonstatutory requirements. If the statute contains no public law name, write in "no public law name."
12. RECIPIENTS - Identify the congressional recipients of the report, i.e., committees, subcommittees, members, etc. Although many statutory requirements stipulate the reports are to be sent to the Clerk of the House or the Secretary of the Senate, those offices generally distribute all reports to the oversight committees which are the ultimate users of reports. Therefore, please designate the specific congressional committees when known.
13. DEVELOPMENTAL COSTS - Provide developmental costs for reports created in response to requirements dated after September 30, 1975. To compute developmental costs, we recommend that you use page 2 of the Guide to Estimating Reporting Costs. If you do not use the referenced guide, please provide us with a copy of your methodology for computing costs. In the event a report has not been prepared, leave this space blank.
14. OPERATIONAL COSTS - Please provide the annual operational costs for preparing the report. To compute operational costs, we recommend that you use the factors on page 3 of the Guide to Estimating Reporting Costs. If you do not use the referenced guide, please provide us with a copy of your methodology for computing costs. In the event a report has not been prepared, leave this space blank.
15. STAFF-HOURS - Please provide the annual staff-hours required to prepare the report.
16. PREPARING AGENCY - Please identify the name of your agency, the bureau or major subordinate office which is responsible for the report and the official agency contact. The official agency contact information will be used by Congresspersons or their staff to make inquiries about reporting requirements. Leave the official contact information blank if congressional inquiries are to

be made to the preparer of the report. Please do not use office symbols or inter-agency abbreviations in Item 16.

17. PREPARER - In order that we may have a specific source of information for responding to questions about the report, please provide the name and telephone number of the individual who actually prepares the report or who is directly responsible for its preparation. Provide the complete telephone number including area code. Please do not use symbols to identify the office.
18. EVALUATION QUESTIONS - Please respond either "yes" or "no" to the 18A thru 18E questions. Questions D and E require an explanation for a "yes" response. Please place your responses to these questions in the space provided on the GAO Form 510. If the provided space is insufficient, explanations may be continued on a separate sheet of paper.
19. REMARKS - This space may be used to provide additional information about a reporting requirement, as well as, reporting changes and deletions to previously submitted requirements.
20. ABSTRACT OF REQUIREMENT FOR REPORT - Leave this space blank.
21. ABSTRACT OF REPORT - Leave this space blank.

INVENTORY OF REQUIREMENTS FOR RECURRING REPORTS TO THE CONGRESS

1. GAO ACCESSION
NUMBER

2. REPORT TITLE (Use actual title as submitted by your agency)

3. DESCRIPTION OF CONTENTS

4. REPORT CONTROL
SYMBOL/NUMBER

5. FREQUENCY OF
SUBMISSION
(As stated in the
requirement)

6. DUE DATE (As stated in
the requirement)

7. SECURITY
CLASSIFICATION

☐ TOP SECRET
☐ SECRET
☐ CONFIDENTIAL
☐ OTHER
☐ NONE

8. OMB ACCOUNT
NUMBER

9. STATUTORY AUTHORITY
FOR REPORT

____ USC ____

____ STAT. ____

PL ____ Sec. ____

10. NON-STATUTORY AUTHORITY FOR REPORT OR VOLUNTARY REPORT

11. PUBLIC LAW NAME

12. CONGRESSIONAL RECIPIENTS (If known, please specify name of recipient committee)

13. DEVELOPMENTAL COSTS

14. OPERATIONAL COSTS

15. STAFF-HOURS

16. PREPARING AGENCY

AGENCY NAME

BUREAU/OFFICE

OFFICIAL CONTACT

NAME

TITLE

OFFICE

PHONE

(Area Code) (Number)

17. PREPARER OF REPORT

LAST NAME

FIRST NAME

PHONE

(Area Code)

(Number)

18. EVALUATION QUESTIONS

A. DO YOU USE THIS REPORT IN THE INTERNAL MANAGEMENT OF YOUR ORGANIZATION?

Y-☐ YES N-☐ NO

B. WOULD THIS REPORT BE PREPARED IF THE CONGRESS DID NOT REQUIRE IT?

Y-☐ YES N-☐ NO

C. HAVE YOU ANY EVIDENCE OF USE OF THIS REPORT BY THE CONGRESS?

Y-☐ YES N-☐ NO

D. DO YOU CONSIDER THIS REPORT TO BE BURDENSOME TO PREPARE?

Y-☐ YES N-☐ NO

IF YES, EXPLAIN:

E. IS THE INFORMATION IN THIS REPORT DUPLICATED IN OTHER DOCUMENTS ALSO SENT

TO THE CONGRESS? IF YES, IDENTIFY:

Y-☐ YES N-☐ NO

19. REMARKS

PORT (V)

SAMPLES

21. ABSTRACT OF REPORT
(FOR GAO USE ONLY)

(FOR GAO USE ONLY)

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GAO FORM 510 (10-76) (REPLACES GAO FORM U-11)		U.S. GENERAL ACCOUNTING OFFICE		
INVENTORY OF REQUIREMENTS FOR RECURRING REPORTS TO THE CONGRESS				
1. GAO ACCESSION NUMBER	2. REPORT TITLE <i>(Use actual title as submitted by your agency)</i>			
3. DESCRIPTION OF CONTENTS				
4. REPORT CONTROL SYMBOL/NUMBER	5. FREQUENCY OF SUBMISSION <i>(As stated in the requirement)</i>	6. DUE DATE <i>(As stated in the requirement)</i>	7. SECURITY CLASSIFICATION T <input type="checkbox"/> TOP SECRET S <input type="checkbox"/> SECRET C <input type="checkbox"/> CONFIDENTIAL O <input type="checkbox"/> OTHER N <input type="checkbox"/> NONE	8. OMB ACCOUNT NUMBER
9. STATUTORY AUTHORITY FOR REPORT _____ USC _____ _____ STAT. _____ PL _____ Sec. _____		10. NON-STATUTORY AUTHORITY FOR REPORT OR VOLUNTARY REPORT <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		
		11. PUBLIC LAW NAME		
12. CONGRESSIONAL RECIPIENTS <i>(If known, please specify name of recipient committee)</i>				
13. DEVELOPMENTAL COSTS		14. OPERATIONAL COSTS		15. STAFF-HOURS
16. PREPARING AGENCY AGENCY NAME _____ BUREAU/OFFICE _____ OFFICIAL CONTACT: NAME _____ TITLE _____ OFFICE _____ PHONE _____ <i>(Area Code) (Number)</i>			17. PREPARER OF REPORT LAST NAME _____ FIRST NAME _____ PHONE _____ <i>(Area Code) (Number)</i>	
18. EVALUATION QUESTIONS				
A. DO YOU USE THIS REPORT IN THE INTERNAL MANAGEMENT OF YOUR ORGANIZATION?				Y- <input type="checkbox"/> YES N- <input type="checkbox"/> NO
B. WOULD THIS REPORT BE PREPARED IF THE CONGRESS DID NOT REQUIRE IT?				Y- <input type="checkbox"/> YES N- <input type="checkbox"/> NO
C. HAVE YOU ANY EVIDENCE OF USE OF THIS REPORT BY THE CONGRESS?				Y- <input type="checkbox"/> YES N- <input type="checkbox"/> NO
D. DO YOU CONSIDER THIS REPORT TO BE BURDENSOME TO PREPARE? IF YES, EXPLAIN: _____				Y- <input type="checkbox"/> YES N- <input type="checkbox"/> NO
E. IS THE INFORMATION IN THIS REPORT DUPLICATED IN OTHER DOCUMENTS ALSO SENT TO THE CONGRESS? IF YES, IDENTIFY: _____				Y- <input type="checkbox"/> YES N- <input type="checkbox"/> NO
19. REMARKS				

GAO ACCESSION NUMBER

20. ABSTRACT OF REQUIREMENT
(FOR GAO USE ONLY)

21. ABSTRACT OF REPORT
(FOR GAO USE ONLY)

ENCLOSURE IV - FEDERAL AGENCY
INFORMATION SYSTEMS

- Instructions
- GAO Form 495's
- ~~- Listing of Previously
Submitted Information
Sources/Systems~~

PROCEDURES FOR THE PREPARATION AND SUBMISSION TO THE
GENERAL ACCOUNTING OFFICE OF REPORTS ON
MAJOR INFORMATION SOURCES/RESOURCES

The following instructions are a supplement to the GAO memorandum on information to be provided to GAO for Inventories of Program Evaluations, Recurring Reports to the Congress, Information Sources, and Information Systems under provisions of the "Congressional Budget Act of 1974."

Agencies will submit a report on each major information source/resource, as defined below. The reports will be typed on GAO Form 539, Information Sources Standard Inventory Data Form. To the extent practicable, all the forms for each agency or agency component should be submitted together.

Major sources/resources are those that (1) are directed at and critical to fulfilling an agency mission, (2) entail the allocation of large dollar resources, and (3) warrant special management attention (policy related). Further, in classifying a source/resource as major, consideration should be given to the relative importance of the document/publication or facility to (1) supporting agency heads in their policy decision-making process, and (2) assisting agency or agency component heads in responding to external requirements for information, such as the President, Congress, GAO, CBO, OMB, and Treasury. Such criteria as dollar resources, size, information content, purpose (budget and programmatic), and scope shall be used to determine whether an agency's information source/resource should be considered "major" under the purview of this requirement. These criteria shall be determined by the agency in cooperation with GAO inventory project staff. Agencies are requested to review annually their total information capabilities, including previous submissions, and submit their inventories of major information sources/resources to GAO, via GAO Form 539. Previous submissions are required to be reviewed to insure data accuracy.

For the purposes of this inventory, an information source/resource is defined as follows: (1) Information Source - a major publication/compilation that is generated and maintained by the agency in support of its mission, such publications and compilations include general information guides and publications, budget and economic documents, organization and management publications, policy/program publications, statistical compilations, budget and long-range planning documents, data resource directories, program/project catalog listings and bibliographies; and (2) Information Resource - a major information collection and/or information dissemination facility, such as documentation centers, information analysis centers, research centers, data use and access centers, clearinghouses, regional information activities, field installations and centers, libraries, special reference collections and information networks, operated by or for the agency in support of its program(s) and mission.

Please submit only unclassified descriptions in completing the sources/resources inventory. For classified sources/resources, please note level of classification and provide an unclassified short title and a summary description on a GAO Form 539.

GAO must receive consolidated agency reports not later than December 31 of each calendar year. GAO views the agency data collection, preparation, and submission period as being from August 1 to December 31 of each calendar year. Completed inventory submissions may be forwarded to GAO at any time during this period. Accordingly, GAO will maintain a staff of information specialists during this period to assist agencies in their data collection and submission efforts.

Agency submissions and information about this request should be directed to:

Information Sources and Systems Group
Program Analysis Division
U.S. General Accounting Office
441 G Street, NW, Room 5008
Washington, DC 20548

Telephone: (202) 275-1837

INSTRUCTIONS FOR COMPLETING GAO FORM 539

Purpose: Information provided will be used by the GAO to develop and maintain the data base inventory of Federal Information Sources/Resources that are budgetary, fiscal, and program-related.

Instructions: The instructions for the completion of the inventory are delineated below. Each numbered item below corresponds to the numbered items on GAO Form 539, which is attached. For publications and documents, agencies are required to complete Items 1 through 13 as appropriate. For each publication, compilation, catalog, or directory cited via the GAO Form 539, in which Items 1 through 13 have been completed, the associated publication/document must accompany the form forwarded to GAO. Care must be taken to clearly identify and link the GAO Form 539 to the subject document/publication with which it is associated. GAO will assume the responsibilities for completing Items 14 through 16 for agency submissions that fall within the above category. On the other hand, for those information sources/resources (publications and information facilities) in which existing off-the-shelf documents delineating the source/resource scope and content can not be provided, Items 1 through 16 must be completed. Additional instructions and GAO Form 539's may be obtained from the Program Analysis Division contact listed above.

1. AGENCY - Enter the name of the department, departmental component agency, board, commission, or other Governmental unit which is responsible for this submission.

2. ACCESSION NUMBER - If a "NEW" submission, GAO will assign the accession number. If a "DELETE" or "CHANGE" submission, enter the assigned accession number on both front and back of GAO Form 539.
3. TITLE - Enter the commonly used name and acronym (if applicable) of the information source/resource published or maintained by the agency component.
4. CONTROL PARAMETERS - Indicate the submission type (NEW, DELETE, CHANGE) defined below, as well as, whether the submission is of the nature of a facility/organization or a document.

New Submission - A new submission is one in which the agency is reporting a specific source/resource for the first time for inclusion in the GAO inventory. It should contain all information requested in each numbered item in accordance with procedures and requirements specified in these instructions. For purposes of the 1977/78 inventory, all entries will be new submissions.

Delete Submission - A delete submission is one in which the entire record of a previous submission is to be removed from an agency inventory of information sources/resources for one reason or another, i.e., the source no longer exists, it has become inoperative, or the program which the source supports has been discontinued. Complete Items 1 through 4 and use Item 11 to briefly describe reason(s) for deletion.

Change Submission - A change is one that modifies, updates, adds, and/or deletes specific information previously submitted for a source by an agency. Complete Items 1 through 4 and the appropriate fields to be changed. Give reason for action in Item 11.

5. AGENCY CONTACT - Enter the name, title, agency organizational affiliation, and telephone number of individual who can provide additional information on this submission.
6. GEOCODING - Indicate the level of geographic reference utilized, i.e., national, state, county, standard metropolitan statistical area (SMSA), congressional district, or specify other level. Check one or more as appropriate.
7. FACILITY/ORGANIZATION IDENTIFICATION - Indicate the specific location of the facility or organization cited, its telephone number (including area code) and the date established.

8. DOCUMENT IDENTIFICATION - Provide the following essential data for each document/publication submitted.

- A. Type of Document - Use a statement which either follows closely the actual wording of the document or material, or which briefly but adequately describes it. Examples are as follows:

"Executive Summary for the Period June 15, 1974 through March 30, 1975; Quarterly Statement for the Period Ended June 30, 1977; Annual Letter Report; Phase II First Report; Third Edition; etc."

- B. Author/Investigator - This field allows for indication of personal names associated with the publication as having some level of responsibility for the production of the document or item. Personal names are interpreted as authors proper, editors or compilers, or principal investigators. If variations from these designations appear on the item in question, use whatever personal name and/or other appropriate information which seems to be prominent.

- C. Document Number - Document numbers are those assigned by the publisher/contractor, or by the agency to uniquely identify the particular item being issued. The number is derived from the document proper. When present, cite it exactly as indicated on the document.

- D. Date - Date refers to the year or more specific time in which the item was issued or produced. The date usually appears on the title page or cover of the document. If no date appears on these pages, assign one, if possible, from other parts of the document or agency files.

- E. Pagination - Pagination refers to regularly numbered pages of the document and to important supplementary pages if not included in the previous numbering. Cite the last arabic-numbered page in the document if the item has continuous paging, and supplementary information if not indicated by this pagination. Examples are as follows:

"95 pp., 2 vols; 107 pp. and indexes; 1 p. and 3 enclosures; various pagings, etc."

9. AVAILABILITY - Indicate whether the source is (1) publicly available through the agency contact, Government Printing Office (GPO), National Technical Information Service (NTIS), (2) its cost, if known, (3) restricted to internal use only, or (4) classified.
10. PROGRAMS(S)* SUPPORTED BY INFORMATION SOURCE/RESOURCE - The primary authority to be used for completing information for this field is the Appendix to the Budget of the United States Government.

Identify by name each PROGRAM or administrative activity, as delineated in the Appendix, and indicate the appropriate OMB FUNDING TITLE and the associated 11-digit OMB ID CODE. (This is a means of relating the agency program(s) principally supported by the applicable source to the Appendix to the Budget of the United States Government which provides "Program and Financing" schedules.) Documents identifiable with specific program(s) should be entered where the identification can be readily made. Multiple entries may be required for a given program or administrative activity.

11. REASONS FOR "CHANGE OR DELETE" IN BLOCK 4 - Use this field if you checked delete or change in Item 4 to explain briefly the reason for the appropriate action.

ABSTRACT OR DESCRIPTION (Items 12 - 14) - The information source/resource description should consist of three sections of approximately 250 words in the aggregate. The three sections will be prepared as follows:

12. PURPOSE - Briefly describe the purpose of the information source or resource, outlining what it is supposed to accomplish or provide (the requirement for the source/resource). Also include the scope of coverage of the source/resource, and its intended audience and user.
13. INPUT - Identify the primary source(s) or provider(s) of data/information, i.e., internal/external, public/private, by category of information. In identifying the primary source(s) of data, be as specific as possible by providing the name(s) of the organizational entity from which the input data is derived. In addition, indicate the major categories of input data.

*A PROGRAM is an organized set of activities directed toward a common purpose, objective, or goal undertaken or proposed by an agency in order to carry out its legislated responsibilities.

14. INFORMATION CONTENT - Delineate in detail the specific information content of the information source/resource (where applicable). The description should include, but is not limited to the following: principal subject matter; data/information coverage, holdings (volume of records), time reference; update cycle(s) services provided and major characteristics of the source/resource. The foregoing are minimum essential elements of descriptive information requested.
15. DESCRIPTIVE NOTATION - Indicate briefly what the source/resource is about. It must be concise, informative, and comprehensive. The notation should not exceed 15 words, except in unusual circumstances.
16. TERMS - List significant words and/or phrases that describe the major subject areas and functions of the information entry; separate listings with a comma.

Agency submissions should consist of one original and one xerox copy of GAO Form 539.

PROCEDURES FOR THE PREPARATION AND SUBMISSION TO THE
GENERAL ACCOUNTING OFFICE OF REPORTS ON
MAJOR INFORMATION SYSTEMS

The following instructions are a supplement to the GAO memorandum on information to be provided to GAO for Inventories of Program Evaluations, Recurring Reports to the Congress, Information Sources, and Information Systems under provisions of the "Congressional Budget Act of 1974."

Agencies will submit a report on each major information system, as defined below. The reports will be typed on GAO Form 495 (Rev. 8-77), Information System Inventory Data Form. To the extent practicable, all the forms for each agency component should be submitted together.

Major systems are those that (1) are directed at and critical to fulfilling an agency mission, (2) entail the allocation of large dollar resources, and (3) warrant special management attention. Further, in classifying a system as major, consideration should be given to the relative importance of its output to 1) supporting agency heads in their policy decision-making process, and (2) supporting agency or agency component heads in responding to external requirements for information such as the President, Congress, GAO, CBO, OMB, and Treasury. Such criteria as dollar resources, size, information content, purpose (budget and programmatic), and scope shall be used to determine whether an agency's information system should be considered "major" under the purview of this requirement. These criteria shall be determined by the agency in cooperation with the GAO inventory project staff. Agencies are requested to review annually their total information capabilities, including previous submissions, and submit their inventories of major systems to GAO, via GAO Form 495. Previous submissions are required to be reviewed to insure data base accuracy.

For the purpose of this inventory, an information system is defined as the organized collection and processing of data in accordance with defined procedures (automated and/or manual) that generate recurring outputs containing budgetary, fiscal, social, economic, scientific-technical, and/or program-related data and information. Also the information system should be operated in support of agency program and management responsibilities identified in the Appendix to the Budget of the United States Government. Examples of systems to be included are as follows:

Management information systems which are used in support of agency activities (mission support).

Program and/or project management systems concerned with the management of agency resources and functions.

Administrative management systems used for budgeting, accounting, procurement, contracts and grants management, and agency or bureau-wide administration.

Agency and/or bureau-wide analytical, planning and forecasting system.

Bibliographic data systems.

Data bases, models (forecasting, simulation, and decision making), and data files generated through agency programs.

Please submit only unclassified descriptions in completing the systems inventory. For classified systems, please note level of classification and provide an unclassified short title and a summary description on a GAO Form 495.

All agencies regardless of size must submit at least one entry for their budget/fiscal system(s). The purpose of this requirement is to identify the source of financial information within every Federal Government agency.

GAO must receive consolidated agency reports not later than December 31 of each calendar year. GAO views the agency data collection, preparation, and submission period as being from August 1 to December 31 of each calendar year. Completed inventory submissions may be forwarded to GAO at any time during this period. Accordingly, GAO will maintain a staff of information systems specialists during this period to assist agencies in their data collection and submission efforts.

Agency submissions and information about this request should be directed to:

Information Sources and Systems Group
Program Analysis Division
U.S. General Accounting Office
441 G Street, NW, Room 5008
Washington, DC 20548

Telephone: (202) 275-1837

INSTRUCTIONS FOR COMPLETING GAO FORM 495 (REV. 8-77)

Purpose: Information provided will be used by the GAO to develop and maintain the data base inventory of Federal Information Systems that are budgetary, fiscal, and program-related.

Instructions: The instructions for the completion of the inventory are delineated below. Each numbered item below corresponds to the numbered items on GAO Form 495, which is attached. Additional

instructions and GAO Form 495's may be obtained from the Program Analysis Division source listed above.

1. AGENCY - Enter the name of the department, departmental agency component, board, commission, or other governmental unit which is responsible for this submission.
2. ACCESSION NUMBER - If a "NEW" submission, GAO will assign the accession number. If a "DELETE" or "CHANGE" submission, enter the assigned accession number on both front and back of GAO Form 495.
3. AGENCY ID NUMBER (OPTIONAL) - Enter the identifier assigned to the system by the agency for internal reference, control or cataloging purposes, if applicable.
4. TITLE OF SYSTEM - Enter the commonly used name and acronym (if applicable) of the information system operated by the agency component.
5. CONTROL PARAMETERS - Indicate the submission type (NEW, DELETE, CHANGE) as defined below, as well as, the organizational level supported by the particular system, i.e., department-wide, component level, or multi-component, and whether the mode of processing is automated, manual, or a combination. In addition, it should be indicated whether the system is operational or under development.

New Submission - A new submission is one in which the agency is reporting a specific system for the first time for inclusion in the GAO inventory. It should contain all information requested in each numbered item in accordance with procedures and requirements specified in these instructions.

Delete Submission - A delete submission is one in which the entire record of a previous submission is to be removed from an agency inventory of information system for one reason or another, i.e., the system no longer exists, it has become inoperative, or the program which the system supports has been discontinued. Complete items 2, 4, and 5 and use item 11 to briefly describe reason(s) for deletion.

Change Submission - A change submission is one that modifies, updates, adds, and/or deletes specific information previously submitted for a system by an agency. Complete items 2, 4, and 5 and the appropriate item(s) to be changed. Give reason for action in Item 11.

6. AGENCY CONTACT - Enter the name, title, agency organizational affiliation, and telephone number of the individual who can provide additional information on this submission.

7. PRINCIPAL REPORTS OR OUTPUTS - Delineate the principal outputs of the system. Output is defined as the product(s) of the information system. They may be in the form of reports, tables, charts, graphic displays, catalogs, directories, and/or handbooks. Do not provide a list of all report titles, but rather a list of categories of reports. The frequency of significant recurring reports should also be indicated. In addition, indicate the medium for output: machine readable form (i.e., punched cards, tapes), hardcopy, microfiche, or CRT display, etc. Also indicate the system's query capability.
8. AVAILABILITY - Indicate whether the output(s) is (1) publicly available through the agency contact, Government Printing Office (GPO), National Technical Information Service (NTIS), (2) restricted to internal use only, or (3) classified.
9. GEOCODING - Indicate the levels of geographic reference utilized, i.e., national, state, county, standard metropolitan statistical area (SMSA), congressional district, or specify other level. Check one or more as appropriate.
10. PROGRAM(S)* SUPPORTED BY INFORMATION SYSTEM - The primary source to be used for completing information for this field is the Appendix to the Budget of the United States Government.

Identify by name each PROGRAM or administrative activity, as delineated in the Appendix, and indicate the appropriate OMB FUNDING TITLE and the associated 11 digit OMB ID CODE. (This is a means of relating the agency program(s) principally supported by the applicable system to the Appendix to the Budget of the United States Government which provides "Program and Financing" schedules.) Administrative activities identifiable with specific program(s) should be entered where the identification can be readily made. Multiple entries may be required for a given program or administrative activity.

*A PROGRAM means an organized set of activities directed toward a common purpose, objective, or goal undertaken or proposed by an agency in order to carry out its legislated responsibilities.

11. REASON FOR "DELETE OR CHANGE" IN BLOCK 5 - use this field if you checked delete or change in Item 5 to explain briefly the reason for the appropriate action.

ABSTRACT OR DESCRIPTION (Item 12-14) - The information system description should consist of three sections of approximately 250 words in the aggregate. The three sections will be prepared as follows:

12. PURPOSE - Briefly describe the purpose of the system, outlining what it is supposed to accomplish or provide (the requirement for the system). Also include the scope of coverage of the system, and its intended audience and user.
13. INPUT - Identify the primary source(s) or provider(s) of data/information, i.e., internal/external, public/private, by category of information. In identifying the primary source(s) of data, be as specific as possible by providing the name(s) of the organizational entity from which the input data is derived. In addition, indicate the major categories of input data.
14. INFORMATION CONTENT - Delineate in detail the specific information content of the information system. Where applicable, the description should include, but is not limited to the following: principal subject matter; data/information coverage, file size and/or number of records, time reference; update cycle(s); and major characteristics of the system. The foregoing are minimum essential elements of descriptive information requested. Agencies are invited to be as comprehensive as practical in identifying significant or distinctive attributes of each system reported to GAO.
15. DESCRIPTIVE NOTATION - Indicate briefly what the system is about. It must be concise, informative, and comprehensive. The notation should not exceed 15 words, except in unusual circumstances.
16. TERMS - List significant words and/or phrases that describe the major subject areas and functions of the information systems; separate listings with a comma.

Agency submissions should consist of one original and one xerox copy of GAO Form 495.

1	AGENCY [ACODE::]
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2	ACCESSION NUMBER	{ACC::}
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3	(AGENCY ID NUMBER—OPTIONAL) [SYSTID::]
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6 AGENCY CONTACT

5 CONTROL PARAMETERS

(UNDER DEVELOPMENT)

9 GEOCODING

(OTHER—SPECIFY)

(REMARKS)

10	PROGRAM(S) SUPPORTED BY INFORMATION SYSTEM

[PROG::]

(REFER TO APPENDIX, THE BUDGET OF
THE UNITED STATES GOVERNMENT)

OMB ID CODE(S)

AGENCY PROGRAM(S)

OMB FUNDING TITLE(S)

11	(REASON FOR "CHANGE" OR "DELETE" IN BLOCK 5)
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ENCLOSURE V - FEDERAL AGENCY
INFORMATION SOURCES/RESOURCES

- Instructions
- GAO Form 539's

12	PURPOSE (REQUIREMENT FOR INFORMATION SOURCE)
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00030015-6
2 ACCESSION NUMBER

I					-		
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12	PURPOSE (REQUIREMENT FOR INFO)	Approved For Release
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[PURP::]

13 INPUT (EXTERNAL AND INTERNAL)

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[INPUT::]
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14 INFORMATION CONTENT

[INFO::]

15 (DESCRIPTIVE NOTATIONS) [DNOTE::]

16 [TERMS::]

REC'D RECORDS

OLC 76-2882/a

12 NOV 1976

Mr. Harry S. Havens, Director
General Accounting Office
Program Analysis Division
Washington, D. C. 20548

Dear Mr. Havens:

Enclosed are completed copies of GAO Forms U11 in response to your request of 5 October 1976 for inventories of recurring reports required to be submitted to Congress.

Sincerely,

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[Redacted Signature]
Acting Legislative Counsel

STAT

Enclosures

Distribution

Original - addressee
1 - OLC Subject
1 - OLC Chrono

OLC:JK:sf (9 November 1976)



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Next 2 Page(s) In Document Exempt

Approved For Release 2004/03/26 : CIA-RDP81M00980R001600030015-6

OLC 77-5297/1
19 December 1977

MEMORANDUM FOR: Acting Deputy Director for Administration

ATTENTION:

[REDACTED]

FROM:

[REDACTED]

Coordination and Review Staff, OLC

SUBJECT: GAO Request for Data on Agency Recurring
Reports and Information Systems

1. GAO periodically sends requests for information to all Government agencies. As noted in the attached letter and memoranda from the Program Analysis Division, updated information is requested in two specific areas: recurring reports required by Congress and major information systems. Obviously, security considerations will limit our ability to respond.

2. Will you please determine what an appropriate response should be? Copies of our previous recurring reports submission to GAO are enclosed as well as instructions for completing the current forms. To date we have not been requested to provide data on information systems.

[REDACTED]

Attachments:
As Stated

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Bob:

Apparently these reports need not be resubmitted unless there are changes to report. However, since a new form is being employed, I have transcribed the data from the old form to the new form insofar as the information was available. Clean copies of the form are attached--I assume that the reports will have to be retyped.

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